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PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 448563/0202  
First Inventor Minoru Usui, et al.  
Title Ink Cartridge for Ink-Jet Printing Apparatus  
Express Mail Label No. EL 911520681 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 25]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 28]
5. Oath or Declaration [Total Pages 11]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 13 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☐ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Cert. of Mailing by Express Mail

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 09, 312,073

Prior application information:

Examiner M. Nghiem

Group Art Unit: 2861

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name Lawrence Rosenthal  
Address Stroock & Stroock & Lavan LLP  
180 Maiden Lane  
City New York State NY Zip Code 10038  
Country United States Telephone 212-806-5400 Fax 212-806-6006

Name (Print/Type) Lawrence Rosenthal Registration No. (Attorney/Agent) 24,377  
Signature [Signature] Date 1/9/02

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PTO/SB/05 (03-01)  
10/04/02  
01/09/02

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 740.00)

## Complete if Known

|                      |                       |
|----------------------|-----------------------|
| Application Number   | Div. of 09/312,073    |
| Filing Date          | Concurrently Herewith |
| First Named Inventor | Minoru Usui, et al.   |
| Examiner Name        | Not Yet Assigned      |
| Group Art Unit       | Not Yet Assigned      |
| Attorney Docket No.  | 448563/0202           |

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 19-4709
- Deposit Account Name: Stroock & Stroock & Lavan LLP
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity              |          | Small Entity |          | Fee Description  | Fee Paid |
|---------------------------|----------|--------------|----------|--|----------|
| Fee Code                  | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 105                       | 130      | 205          | 65       | Surcharge - late filing fee or oath  |          |
| 127                       | 50       | 227          | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                       | 130      | 139          | 130      | Non-English specification  |          |
| 147                       | 2,520    | 147          | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                       | 920*     | 112          | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                       | 1,840*   | 113          | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115                       | 110      | 215          | 55       | Extension for reply within first month                                     |          |
| 116                       | 400      | 216          | 200      | Extension for reply within second month                                    |          |
| 117                       | 920      | 217          | 460      | Extension for reply within third month                                     |          |
| 118                       | 1,440    | 218          | 720      | Extension for reply within fourth month                                    |          |
| 128                       | 1,960    | 228          | 980      | Extension for reply within fifth month                                     |          |
| 119                       | 320      | 219          | 160      | Notice of Appeal   |          |
| 120                       | 320      | 220          | 160      | Filing a brief in support of an appeal                                     |          |
| 121                       | 280      | 221          | 140      | Request for oral hearing   |          |
| 138                       | 1,510    | 138          | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                       | 110      | 240          | 55       | Petition to revive - unavoidable   |          |
| 141                       | 1,280    | 241          | 640      | Petition to revive - unintentional   |          |
| 142                       | 1,280    | 242          | 640      | Utility issue fee (or reissue)   |          |
| 143                       | 460      | 243          | 230      | Design issue fee   |          |
| 144                       | 620      | 244          | 310      | Plant issue fee  |          |
| 122                       | 130      | 122          | 130      | Petitions to the Commissioner  |          |
| 123                       | 50       | 123          | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 126                       | 180      | 126          | 180      | Submission of Information Disclosure Stmt                                  |          |
| 581                       | 40       | 581          | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                       | 740      | 246          | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                       | 740      | 249          | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                       | 740      | 279          | 370      | Request for Continued Examination (RCE)                                    |          |
| 169                       | 900      | 169          | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) _____ |          |              |          |  |          |

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 101          | 740      | 201          | 370      | Utility filing fee     | 740      |
| 106          | 330      | 206          | 165      | Design filing fee      |          |
| 107          | 510      | 207          | 255      | Plant filing fee       |          |
| 108          | 740      | 208          | 370      | Reissue filing fee     |          |
| 114          | 160      | 214          | 80       | Provisional filing fee |          |

SUBTOTAL (1) (\$ 740.00)

### 2. EXTRA CLAIM FEES

| Total Claims |                    | Extra Claims |        | Fee from below | Fee Paid |
|--------------|--------------------|--------------|--------|----------------|----------|
| Independent  | Multiple Dependent | -20** =      | -3** = |                |          |
| 11           | 1                  | 0            | 0      |                |          |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                     |
| 102          | 84       | 202          | 42       | Independent claims in excess of 3                          |
| 104          | 280      | 204          | 140      | Multiple dependent claim, if not paid                      |
| 109          | 84       | 209          | 42       | ** Reissue independent claims over original patent         |
| 110          | 18       | 210          | 9        | ** Reissue claims in excess of 20 and over original patent |

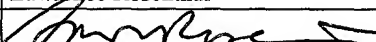
SUBTOTAL (2) (\$ 0.00)

\*\*or number previously paid, if greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00)

## SUBMITTED BY

|                   |   |                                   |        |           |                |
|-------------------|---|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Lawrence Rosenthal  | Registration No. (Attorney/Agent) | 24,377 | Telephone | (212) 806-5400 |
| Signature         |  | Date                              | 1/9/02 |           |                |

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Docket No.  
448563/0202  
LR:DLS

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: MINORU USUI, ET AL.

Art Unit: Not Yet Assigned

Application No.: Divisional of 09/312,073

Examiner: Not Yet Assigned

Filed: Concurrently Herewith

For: INK CARTRIDGE FOR INK-JET PRINTING APPARATUS

Date: January 9, 2002

Box PATENT APPLICATION  
Commissioner for Patents  
Washington, DC 20231

**CERTIFICATE OF MAILING**  
**BY "EXPRESS MAIL" (37 C.F.R. § 1.10)**

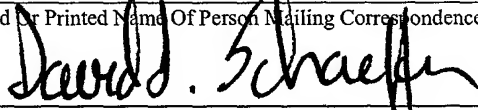
Sir:

I hereby certify that the following correspondence :  
Specification (cover & 24 pgs); Drawings (28 sheets); Combined Declaration and Power of Attorney (11pgs, copy from 09/312,073); Utility Patent Application Transmittal (PTO/SB/05); Fee Transmittal for FY 2002 (PTO/SB/17); Information Disclosure Statement (2pgs); Information Disclosure Citation forms (PTO/SB/08A, 2 sheets); return postcard

is being deposited on January 9, 2002 with the United States Postal Service for "Express Mail Post Office to Addressee" delivery under 37 C.F.R. § 1.10 in an envelope bearing sufficient postage and addressed to: **Box Patent Application, Commissioner for Patents, Washington, DC 20231.**

**David L. Schaeffer**

(Typed or Printed Name Of Person Mailing Correspondence)



(Signature Of Person Mailing Correspondence)

**EL 911520681 US**

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